

# **APPENDIX “B”**



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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Washington, D.C. 20231**

MAY 26, 1999

PTAS

GENERAL ELECTRIC COMPANY  
TYLER MADDRY  
CRD PATENT DOCKET RM. 4A59, BLDG. K-1,  
SALAMONE, P.O. BOX 8, 1 RESEARCH CIRCLE  
SCHENECTADY, NY 12301

A standard linear barcode is positioned horizontally across the page. Below the barcode, the number \*100982329A\* is printed in a small, bold, black font.

JUN - 4 1999

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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RECORDATION DATE: 03/01/1999

REEL/FRAME: 9802/0674  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR : DUGGAL, ANIL RAJ DOC DATE: 02/12/1999

ASSIGNOR : DAVENPORT JOHN MARTIN DOC DATE: 01/29/1999

**ASSIGNOR:** SOULS THOMAS FREDERICK **DOC DATE:** 02/02/1999

ASSIGNOR: BEERS, WILLIAM WENDER  
DOC. DATE: 02/02/1999

**ASSIGNEE:**  
GENERAL ELECTRIC COMPANY

ONE RIVER ROAD  
SCHENECTADY, NEW YORK 12345

9802/0674 PAGE 2

SERIAL NUMBER: 09203214  
PATENT NUMBER:

FILING DATE: 11/30/1998  
ISSUE DATE:

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

JUN - 4 1999

03-15-1999

Docket No. RD-26,198

FORM PTO 1595  
1-31-92

31-99

100982329

ET U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Anil Raj Duggal  
 Alok Mani Srivastava  
 John Martin Davenport  
 Thomas Frederick Soulis  
 William Winder Beers

Additional name(s) of conveying party(ies) attached?  Yes  No

## 3. Nature of conveyance:

- Assignment  Merger  
 Security Agreement  Change of Name  
 Other

Execution Date: 2/12/99; 2/18/991/29/99; 2/2/99; 2/2/99

## 2. Name and address of receiving party(ies):

Name: General Electric Company

Internal Address:

Street Address: One River Road

City: Schenectady State: NY ZIP: 12345

Additional name(s) & address(es) attached?  Yes  No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application

2/12/99; 2/18/99; 1/29/99; 2/2/99; 2/2/99

A. Patent Application No.(s)

B. Patent No.(s)

09/203,214

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: General Electric Company

Internal Address: CRD Patent Docket Rm. 4A59

Bldg. K-1, Salamone

P.O. Box 8

Street Address: One Research Circle

City: Schenectady State: NY ZIP: 12301

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$40.00

 Enclosed Authorized to be charged to deposit account

## 8. Deposit account number:

07-0868

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Tyler Maddry  
Name of Person Signing

Signature

FEB. 23, 1999

Total number of pages including cover sheet, attachments and document 4

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Mail documents to be recorded with required cover sheet information to:

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03/04/1999 TLUU11 00000099 070868 09203214

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8/93

**ASSIGNMENT**Docket Number  
RD-26,198

In consideration of One Dollar and Other good and valuable consideration, of which I acknowledge receipt, I (we)

Anil Raj Duggal	of Niskayuna, New York
Alok Mani Srivastava	of Schenectady, New York
John Martin Davenport	of Lyndhurst, Ohio
Thomas Frederick Soules	of Richmond Heights, Ohio
William Winder Beers	of Chesterland, Ohio
	of

sell and assign to General Electric Company, a New York Corporation, its successors and assigns the entire right, title and interest in and to the improvements in:

**PHOSPHORS FOR WHITE LIGHT GENERATION FROM UV EMITTING DIODES**

invented by me (us), as described in the application for United States patent

executed concurrently herewith, or  
 U.S. Serial No.: 09/203,214, filed 11/30/98

and any and all applications for patent and patents therefor in any and all countries, including all divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said United States application, and authorize and request any official whose duty it is to issue patents, to issue any patents on said improvements or resulting therefrom to said General Electric Company, or its successors or assigns and agree that on request and without further consideration, but at the expense of said Company, I will communicate to said Company or its representatives or nominees any facts known to me respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said Company, its successors, assigns, and nominees to obtain and enforce proper patent protection for said improvements in all countries.

Feb. 12, 1999

Date

Anil Raj Duggal

State of New York) SS:

County of Schenectady)

This 12th day of February, 1999, before me personally came the

above-named Anil Raj Duggal to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

JEAN G. MYERS  
 Notary Public in the State of New York  
 Qualified in Schenectady Co.  
 No. 01MY5068850

2/22/00 J. G. Myers  
 (Notary Public)

My Commission Expires NOV 11, 2000

**ASSIGNMENT**Docket Number  
RD-26,1982/18/99  
DateAlok Mani Srivastava  
Alok Mani SrivastavaState of New York) SS:County of Schenectady)

This 8th day of January, 1999, before me personally came the above-named Alok Mani Srivastava individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

JEAN G. MYERS

Notary Public in the State of New York  
Qualified in Schenectady Co.  
No. 01MY3068850  
My Commission Expires Nov. 11, 2000

Seal

(Notary Public)

Jean G. Myers1/29/99

Date

John Martin DavenportState of Ohio) SS:County of Cuyahoga)

This first day of February, 1999, before me personally came the above-named John Martin Davenport individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

Jacqueline K. Massaro  
JACQUELINE K. MASSARO  
Notary Public - State of Ohio  
My Commission Expires 2/27/02

Feb. 2, 1999Thomas Frederick SoulesState of Ohio) SS:County of Cuyahoga)

This 2nd day of February, 1999, before me personally came the above-named Thomas Frederick Soules individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

DIANE M. GETTLER  
Notary Public, State of Ohio  
My Commission Expires August 26, 2003

Seal

(Notary Public)

Diane M. Gettler

**ASSIGNMENT**Docket Number  
RD-26,198Feb 2, 1999  
DateWilliam Winder Beers  
William Winder BeersState of Ohio) SS:County of Cuyahoga)

This 2nd day of February, 1999, before me personally came the above-named William Winder Beers individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

**DIANE M. GETTLER**  
Notary Public, State of Ohio  
My Commission Expires August 26, 2003

(Notary Public)

Date

State of \_\_\_\_\_) SS:

County of \_\_\_\_\_)

This \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_\_, before me personally came the above-named \_\_\_\_\_ individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

(Notary Public)

Date

State of \_\_\_\_\_) SS:

County of \_\_\_\_\_)

This \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_\_\_\_, before me personally came the above-named \_\_\_\_\_ individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

(Notary Public)